

PTO/SB/01A (07-05)

Approved for use through 01/01/2007 OMB 0591-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)**Title of
Invention**

Therapeutic and carrier molecules

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
- ☒ Application No. PCT/AU2006/020088, filed on 26 January 2006
- ☐ As amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.55, including for continuation-in-part applications, material information which becomes available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application

WARNING:

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2036 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2036 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)Inventor one: Antonio FERRANTESignature: Citizen of: AustraliaInventor two: Deborah Ann RATHJEN

Signature: _____

Citizen of: Australia☐ Additional inventors or a legal representative are being named on _____ additional form(s) attached hereto.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1460, Alexandria, VA 22313-1460. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

If you need assistance in completing the form, call 1-800-PTO-8199 and select option 3.

APPLICATION DATA SHEET

Application Information

Application Type:	Regular
Subject Matter:	Utility
Title:	THERAPEUTIC AND CARRIER MOLECULES
Attorney Docket Number:	17418
Total Drawing Sheets:	16
Petition included?	No

Inventor Information

Inventor One Authority Type:	Inventor
Primary Citizenship Country:	Australia
Status:	Full Capacity
Given Name:	Antonio
Family Name:	Ferrante
Name Suffix:	Mr.
City of Residence:	Mount Osmond
State or Province of Residence:	South Australia
Country of Residence:	Australia
Street:	59 Glen Eagles Road
City:	Mount Osmond
State or Province:	South Australia
Country:	Australia
Postal or Zip Code:	5064

Inventor Two Authority Type:	Inventor
Primary Citizenship Country:	Australia
Status:	Full Capacity
Given Name:	Deborah
Middle Name:	Ann
Family Name:	Rathjen
Name Suffix:	Ms.
City of Residence:	Flagstaff Hill
State or Province of Residence:	South Australia
Country of Residence:	Australia
Street:	86 Kingfisher Court
City:	Flagstaff Hill
State or Province:	South Australia
Country:	Australia
Postal or Zip Code:	5159

Correspondence Information

Correspondence Customer Number: 00272

Representative Information

Designation::	Registration number::	Name::
Primary	31,346	Frank S. DiGiglio
Primary	30,749	Paul J. Esatto, Jr.
Primary	33,705	Edward W. Grolz
Primary	19,827	Leopold Presser
Primary		
Primary		
Primary		
Primary		

Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
		60/540,604	01/30/2004

Foreign Priority Information

Application:	Continuity Type::	Parent Application:	Parent Filing Date::
This Application Claims the Benefit Under 35 USC 119(a)-(d) of			

Assignee Information

Assignee Name:	PEPLIN BIOLIPIDS PTY LTD
Street:	Level 2, Brisbane Portal, 1 Breakfast Creek Road
City:	Newstead
State or Province:	Queensland
Country:	Australia
Postal or Zip Code:	4006

PTO/SB/D1A (07-08)

Approved for use through 01/31/2007, OMB 0891-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

Title of Invention

Therapeutic and carrier molecules

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
- ☒ Application No. PCT/AU2009/000096 filed on 28 January 2009
- ☐ As amended on _____ (if applicable):

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.59, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

WARNING:

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(B)

Inventor one: Antonio FERRANTESignature: _____ Citizen of: AustraliaInventor two: Deborah Ann RATHJENSignature: Deborah J. Citizen of: Australia☐ Additional inventor or a legal representative are being named on _____ additional form(s) attached hereto.

This collection of information is required by 35 U.S.C. 118 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1480, Alexandria, VA 22313-1480. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

APPLICATION DATA SHEET

Application Information

Application Type:	Regular
Subject Matter:	Utility
Title:	THERAPEUTIC AND CARRIER MOLECULES
Attorney Docket Number:	17418
Total Drawing Sheets:	16
Petition included?:	No

Inventor Information

Inventor One Authority Type:	Inventor
Primary Citizenship Country:	Australia
Status:	Full Capacity
Given Name:	Antonio
Family Name:	Ferrante
Name Suffix:	Mr.
City of Residence:	Mount Osmond
State or Province of Residence:	South Australia
Country of Residence:	Australia
Street:	59 Glen Eagles Road
City:	Mount Osmond
State or Province:	South Australia
Country:	Australia
Postal or Zip Code:	5064

Inventor Two Authority Type:	Inventor
Primary Citizenship Country:	Australia
Status:	Full Capacity
Given Name:	Deborah
Middle Name:	Ann
Family Name:	Rathjen
Name Suffix:	Ms.
City of Residence:	Flagstaff Hill
State or Province of Residence:	South Australia
Country of Residence:	Australia
Street:	86 Kingfisher Court
City:	Flagstaff Hill
State or Province:	South Australia
Country:	Australia
Postal or Zip Code:	5159

Correspondence Information

Correspondence Customer Number:	00272
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Representative Information

Designation::	Registration number::	Name::
Primary	31,346	Frank S. DiGiglio
Primary	30,749	Paul J. Esatto, Jr.
Primary	33,705	Edward W. Groiz
Primary	19,827	Leopold Preaser
Primary		
Primary		
Primary		
Primary		

Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
		60/540,604	01/30/2004

Foreign Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application Claims the Benefit Under 35 USC 119(a)-(d) of			

Assignee Information

Assignee Name:	PEPLIN BIOLIPIDS PTY LTD
Street:	Level 2, Brisbane Portal, 1 Breakfast Creek Road
City:	Newstead
State or Province:	Queensland
Country:	Australia
Postal or Zip Code:	4006

PTO/SB/81 (01-05)

Approved for use through 12/31/2008. OMB 0631-0035

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM

Application Number	
Filing Date	12 August 2008
First Named Inventor	Antonio FERRANTE
Title	Therapeutic and carrier molecules
Art Unit	
Examiner Name	
Attorney Docket Number	17418

I hereby revoke all previous powers of attorney given in the above-identified application.

I hereby appoint:

☒ Practitioners associated with the Customer Number:

00272

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

☐ Firm or Individual Name

Address

City

State

Zip

Country

Telephone

Email

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/98)

PEPLIN BIOLIPIDS PTY LTD SIGNATURE of Applicant or Assignee of Record

Signature

Date

6 MAY 09

Name

DAVID SMITH YCHERRELL HILST

Telephone

CHERRELL HILST

Title and Company

COMPANY SECRETARY / NON-EXECUTIVE DIRECTOR

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ Total of one forms are submitted.

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1460, Alexandria, VA 22313-1460. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

PTO/BB/95 (09-06)

Approved for use through 03/31/2007. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Antonio FERRANTE and Deborah Ann RATHJEN

Application No./Patent No.: _____ Filed/Issue Date: _____

Entitled: Therapeutic and carrier molecules

REBUN BIOLABORS PTY LTD, a CORPORATION
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest
 (The extent (by percentage) of its ownership interest is _____ %)

in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: _____ To: _____
 The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
 The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
 The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

DAVID SMITH / CHIEF EXECUTIVE DIRECTOR
 Signature

Printed or Typed Name

COMPANY SECRETARY / NON-EXECUTIVE DIRECTOR

Title

Date

6 MAY 09

Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-3199 and select option 2.

COPY

US
PATENT
Attorney's docket no. 17418
ASSIGNMENT

WHEREAS, I/WE

19 Boulton St, North Adelaide

Antonio FERRANTE, an Australian citizen of ~~59 Glen Eagles Road, Mount Osmond, South Australia~~ *5006, Australia*
~~5064, Australia;~~
 Deborah Ann RATHJEN, an Australian citizen of 86 Kingfisher Court, Flagstaff Hill, South Australia
 5159, Australia

hereinafter referred to as Assignor (collectively if more than one inventor is listed above), have invented certain new and useful improvements in **Therapeutic and carrier molecules**

the specification of which:

- (a) ☐ was executed on even date herewith;
 (b) ☐ was filed on _____ as ☐ Application No. _____ or
☐ Express Mail No., as Application No. not yet known _____ and was amended on
 _____ (if applicable); or
 (c) ☒ was described and claimed in PCT International Application PCT/AU2005/000098
 filed on 28 January 2005 and as amended under PCT Article 19 on _____ (if any)
 and/or under PCT Article 34 on _____ (if any).

AND WHEREAS,

PEPLIN BIOLIPIDS PTY LTD, of Level 2, Brisbane Portal, 1 Breakfast Creek Road, Newstead,
 Queensland 4006, Australia

(hereinafter referred to as Assignee) desires to acquire the entire rights, title, and interest in and to the said improvements with respect to the United States of America, its territories and possessions.

NOW, THEREFOR, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, Assignor hereby acknowledges that it has sold, assigned, transferred and set over, and by these presents does hereby sell, assign, transfer and set over, unto Assignee, its successors, legal representatives and assigns, the entire right, title, and interest in the United States of America, and its territories and possessions in, to and under said improvements, and any Patent Applications in the United States of America and all divisions, renewals and continuations thereof, and all Patents of the United States of America which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions; and Assignor hereby authorizes and requests the Commissioner of Patents of the United States of America to issue all Patents for said improvements to Assignee, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND ASSIGNOR HEREBY covenants and agrees that it will communicate to Assignee, its successors, legal representatives and assigns, any facts known to it respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisions, continuations and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in the United States of America.

IN TESTIMONY WHEREOF, Assignor intending to be legally bound has herunto affixed its signature

This 6th day of May, 20


 Signature of **Antonio FERRANTE**


 Witness

This _____ day of _____, 20

 Signature of **Deborah Ann RATHJEN**

 Witness

COPY

US
PATENT
Attorney's docket no. 17418
ASSIGNMENT

WHEREAS, I/WE

Antonio FERRANTE, an Australian citizen of 59 Glen Eagles Road, Mount Osmond, South Australia 5064, Australia;

Deborah Ann RATHJEN, an Australian citizen of 86 Kingfisher Court, Flagstaff Hill, South Australia 5159, Australia

hereinafter referred to as Assignor (collectively if more than one inventor is listed above), have invented certain new and useful improvements in **Therapeutic and carrier molecules**

the specification of which:

- (a) ☐ was executed on even date herewith;
 (b) ☐ was filed on _____ as ☐ Application No. _____ or
☐ Express Mail No., as Application No. not yet known _____ and was amended on
 _____ (if applicable); or
 (c) ☒ was described and claimed in PCT International Application PCT/AU2005/000098
 filed on 28 January 2005 and as amended under PCT Article 19 on _____ (if any)
 and/or under PCT Article 34 on _____ (if any).

AND WHEREAS,

PEPLIN BIOLIPIDS PTY LTD, of Level 2, Brisbane Portal, 1 Breakfast Creek Road, Newstead, Queensland 4006, Australia

(hereinafter referred to as Assignee) desires to acquire the entire rights, title, and interest in and to the said improvements with respect to the United States of America, its territories and possessions.

NOW, THEREFOR, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, Assignor hereby acknowledges that it has sold, assigned, transferred and set over, and by these presents does hereby sell, assign, transfer and set over, unto Assignee, its successors, legal representatives and assigns, the entire right, title, and interest in the United States of America, and its territories and possessions in, to and under said improvements, and any Patent Applications in the United States of America and all divisions, renewals and continuations thereof, and all Patents of the United States of America which may be granted thereon and all renewals and extensions thereof, and all rights of priority under International Conventions; and Assignor hereby authorizes and requests the Commissioner of Patents of the United States of America to issue all Patents for said improvements to Assignee, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND ASSIGNOR HEREBY covenants and agrees that it will communicate to Assignee, its successors, legal representatives and assigns, any facts known to it respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in the United States of America.

IN TESTIMONY WHEREOF, Assignor intending to be legally bound has hereunto affixed its signature.

This _____ day of _____, 20

Signature of **Antonio FERRANTE**

Witness

This 29th day of April, 2009Signature of **Deborah Ann RATHJEN**

Witness